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15 SEP 2000

Form PTO-1390	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER
P19949.P02		P19949
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/SG98/00020	18 March 1998	

TITLE OF INVENTION

A METHOD OF EXCHANGING DIGITAL DATA

APPLICANT(S) FOR DO/EO/US

Feng BAO and Huijie DENG

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. X This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.

2. ___ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.

3. X This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).

4. X A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.

5. X A copy of the International Application as filed (35 U.S.C. 371(C)(2))
   a. X is transmitted herewith (required only if not transmitted by the International Bureau).
   b. X has been transmitted by the International Bureau.
   c. ___ is not required, as the application was filed in the United States Receiving Office (RO/US).

6. ___ A Translation of the International Application into English (35 U.S.C. 371 (c)(2)).

7. X Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
   a. ___ are transmitted herewith (required only if not transmitted by the International Bureau).
   b. ___ have been transmitted by the International Bureau.
   c. ___ have not been made; however, the time limit for making such amendments has NOT expired.
   d. X have not been made and will not be made.

8. ___ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))

9. X An oath or declaration of the inventor(s) (35 U.S.C. .371(c)(4)).
   "UNEXECUTED"

10. ___ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ___ An information Disclosure Statement under 37 CFR 1.97 and 1.98.

12. ___ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.

13. X A FIRST preliminary amendment.
    ___ A SECOND or SUBSEQUENT preliminary amendment.

14. ___ A substitute specification.

15. ___ A change of power of attorney and/or address letter.

16. X Other items or information:

    International Application as published.
    Cover Letter under 35 U.S.C. 371 AND 37 C.F.R. 1.495.
    PCT/ISA/210.
    PCT/IPEA/409 International Preliminary Examination Report.

430 Rec'd PCT/PTO 15 SEP 2000

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
09/623488	PCT/SG98/00020	P19949

17. X The following fees are submitted:	CALCULATIONS	PTO USE ONLY
Basic National Fee (37 CFR 1.492(a)(1)-(5)):		
Search report has been prepared by the EPO or JPO. $840.00		
International preliminary examination fee paid to USPTO (37 CFR 1.482). . . . . $ 670.00		
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO(37 CFR 1.445(a)(2)) . . . . . $ 690.00		
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . . . . $ 970.00		
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). . . . . $ 96.00		
ENTER APPROPRIATE BASIC FEE AMOUNT =	$840.00	
Surcharge of $130.00 for furnishing the oath or declaration later than ___ 20 ___ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	$ 0.00	

Claims	Number Filed	Number Extra	RATE		
Total Claims	7 - 20 =	0	X $18.00	$ 0.00	
Independent Claims	1 - 3 =	0	X $78.00	$ 0.00	
Multiple dependent claim(s) (if applicable)			+ $260.00	$ 0.00	
		TOTAL OF ABOVE CALCULATIONS =		$840.00	
Reduction by ½ for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28)				$ 0.00	
		SUBTOTAL =		840.00	
Processing fee of $130.00 for furnishing the English translation later than ___ 20 ___ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			+	0.00	
Extension of Time fee in the amount of $			+	0.00	
		TOTAL NATIONAL FEE =		840.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). $40.00 per property			+	0.00	
		TOTAL FEES ENCLOSED =		840.00	
			Amount to be refunded	$	
			Charged	$	

a. X A check in the amount of $840.00 to cover the above fees is enclosed.

b. ___ Please charge my Deposit Account No. _____ in the amount of $_____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. X The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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29,027
REGISTRATION NUMBER

P19949

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : F. BAO et al.

Serial No : Not Yet Assigned

Filed : Concurrently Herewith

For : A METHOD OF EXCHANGING DIGITAL DATA

PRELIMINARY AMENDMENT

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Prior to the examination of the above-identified patent application, the Examiner is respectfully requested to amend the specification and claims as follows:

IN THE CLAIMS

Please amend the claims as follows:

In claim 3, line 1, please delete "or claim 2".

In claim 5, line 1, please change "any of the preceding claims" to ---claim 1---.

REMARKS

The Examiner is respectfully requested to enter the foregoing amendment prior to examination and calculation of the filing fees in the above-identified patent application.

Should there be any questions, the Examiner is invited to contact the undersigned at the below listed number.

Respectfully submitted,
F. BAO et al.

Leslie J. Payne per Reg No 33,329
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September 15, 2000
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A Method of Exchanging Digital Data

The invention relates to digital data exchange and electronic commerce, and in particular, to a method of fair and efficient exchange of digital data between potential distrustful parties over a digital communication channel.

An important issue in information processing and electronic commerce is how to exchange non-repudiation information between two potentially distrustful parties in a secure and fair manner. An example of this is the electronic contract signing problem where two parties are physically apart and negotiate a contract in the form of digital document over a communication network. The contract is considered legally binding if the two parties have each other's digital signatures on the digital document. The two parties need to execute a fair exchange protocol to obtain each other's digital signatures. Other applications of fair exchange protocols include certified electronic mail delivery and electronic auctioning over internet.

Fair exchange has been studied for some time in the context of "simultaneous secret exchange" or "gradual secret releasing", see for examples, S. Even, O. Goldreich, and A. Lempel, "A randomized protocol for signing contracts", Communications of the ACM, vol. 28, pp. 637-647, June 1985; also see T. Okamoto and K. Ohta, "How to simultaneously exchange secrets by general assumptions", Proceedings of the 2nd ACM Conference on Computer

and Communications Security, pp. 184-192, Fairfax, Virginia, November 1994. In simultaneous secret exchange schemes, it is assumed that two parties A and B each possess a secret a and b, respectively, where a and b are n bit strings. Further it is assumed that both secrets represent some value to the other party and that they are willing to trade the secrets with each other. A simultaneous secret exchange process is typically carried out as following. First, A and B exchange f(a) and g(b) for some predefined functions f() and g(), with the property that A can not get b from g(b) and B can not recover a from f(a). Then, A and B release a and b bit-by-bit. For such a protocol to be useful, it must satisfy the following two requirements: correctness -- the correctness of each bit given must be checked by each receiver to ensure that his/her secret has not being traded for garbage; and fairness -- the computational effort required from the parties to obtain each other's remaining secret should be approximately equal at any stage during the execution of the protocol. Note that the above fairness definition based on equal computational complexity makes sense only if the two parties have equal computing power, an often unrealistic and undesirable assumption. Another drawback of the above scheme is that the execution of the scheme requires many rounds of interactions between the two parties.

The other approach in fair exchange is using an on-line trusted third party (TTP), see for examples, J. Zhou and D. Gollmann, "A fair non-repudiation protocol", Proceedings of the 1996 IEEE

Symposium on Security and Privacy", IEEE Computer Press, pp. 55-61, Oakland, CA; R. H. Deng, L. Gong, A. A. Lazar, and W. Wang, "Practical protocols for certified electronic mail", Journal of Network and Systems Management, vil. 4, no. 3, pp. 279-297, 1996. In on-line TTP based protocols, the TTP acts as a middleman. A and B forward their messages/signatures to the TTP. The TTP first checks the validity of the received signatures and then relays them to the respective parties. The major drawback of this approach is that the TTP is always involved in the exchange even if the parties are honest and no fault occurs; therefore, the on-line TTP is both a computational bottleneck and a communications bottleneck. To avoid such bottlenecks, a more novel approach is to use protocols with an off-line TTP. That is, the TTP does not get involved in the normal or exceptionless case, it gets involved only in the presence of faults or in the case of dishonest parties who do not follow the protocols.

To our knowledge, the only fair exchange protocols using off-line TTP are given by N. Asokan, M. Schunter, and M. Waidner, "Optimistic protocols for fair exchange", Proceedings of the 4th ACM Conference on Computer and Communications Security, Zurich, April 1997. However, these protocols achieve fairness only if the TTP can undo a transfer of an item or it is able to produce a replacement for it; otherwise, a misbehaving party may get other party's data and refuse to send his data to the other party. When this happens, all the TTP can do in the above mentioned protocols is to issue affidavits

attesting to what happened during the exchange. However, such affidavits may be useless in the internet environment where the cheating party may disappeared easily and the damage to the honest party may not be revocable.

In accordance with the present invention, a method of exchanging digital data between a first party, having a unique first digital data, and a second party, having a unique second digital data, over a communication link, the method comprising the steps of:

(a) the first party encrypting the first digital data and generating an authentication certificate, the authentication certificate authenticating that the encrypted first digital data is an encryption of the first digital data, and sending the encrypted first digital data and the authentication certificate to the second party;

(b) the second party verifying that the encrypted first digital data is an encryption of the first digital data using the authentication certificate, and the second party sending the second digital data to the first party if the verification is positive;

(c) the first party verifying that the second digital data is valid, and if the verification is positive the first party accepts the second digital data and sends the unencrypted first digital data to the second party;

(d) the second party verifying that the first digital data is valid, and if the verification is positive, the second party accepts the second digital data; otherwise, the second entity sends the encrypted first digital data and the second digital data to a third party, third party having a decryption key to decrypt the encrypted first digital data; and

(e) the third party decrypting the encrypted first digital data to obtain the first digital data, verifying that the first and the second digital data are valid and, if both the first and the second digital data are verified as valid, sending the first digital data to the second party and the second digital data to the first party.

The invention provides a method of exchanging digital data between distrustful parties over a communication link, and has the advantages of 1) using an off-line trusted third party (TTP), i.e., TTP does not take part in the exchange unless one of the exchanging parties behaves improperly; 2) being efficient in communications, only three message exchanges are required in the normal situation; and 3) achieving fairness, i.e., either A and B obtain each other's data or no party receives anything useful, and no loss is incurred to a party no matter how maliciously the other party behaves during the exchange.

Fairness is only achieved if the exchange protocol possesses a so called loss-preventing property. Loss-preventing means that

no loss is incurred to a party no matter how improperly the other party performs. More specifically, an exchange protocol achieves true fairness if it guarantees that either both parties obtain each other's signatures or none of them get anything. The exchange systems presented in this invention are the first which achieve true fairness with off-line TTP.

A new cryptographic primitive, called the Certificate of Encrypted Message Being a Signature (CEMBS) is also invented here. The CEMBS is used to prove that an encrypted message is a certain party's signature on a file without revealing the actual signature.

Examples of a method of exchanging digital data in accordance with the invention will now be described with reference to the accompanying drawings, in which:

Figure 1 shows the steps of fair exchange digital signatures on a common file;

Figure 2 shows the steps of fair exchange of a file and a digital signature on a one-way hash of the file;

Figure 3 illustrates the flow diagram of the first Signature-Ciphertext-CEMBS-Generation Program (SCCGP) used in the preferred embodiment of the present invention; and,

Figure 4 shows the flow diagram of the second Signature-Ciphertext-CEMBS-Generation Program (SCCGP) used in the preferred embodiment of the present invention.

The parties involved in the protocols and some of the notations used in the description of the examples are as follows.

Notations related to public key encryption scheme

P : a public key encryption scheme
Pencr : encryption algorithm of P
Pdecr : decryption algorithm of P
PK : a public key in P
SK : the private key corresponding to PK
Pencr(PK, m) : encryption output (i. e., ciphertext) of a plaintext m using PK
Pdecr(SK, c) : decryption output (i. e., plaintext) of a ciphertext c using SK

Notations related to digital signature schemes

S : a digital signature scheme
Ssign : signing algorithm of S
Sveri : verifying algorithm of S
sk : a private (or signing) key in S
pk : the public (or verifying) key corresponding to sk
Ssign(sk, m) : signature on a plaintext m under private key sk
Sveri(pk, sign, m) : verification of a signature sign on a message m using public key pk; it outputs yes if the signature is valid and no

otherwise

Mathematics notations

a^b :a raised to the bth power

a||b : the concatenation of a and b

Zp : the set of p integers {0, 1, 2, ..., p-2, p -1}

Zp* : the subset of integers in Zp which are relatively prime to p

There are three generic parties in a fair-exchange system,

Parties involved

A :a party involved in a fair exchange. It has a pair of public/private keys pkA and skA used for signature verification and generation, respectively.

B :a party involved in a fair exchange. It has a pair of public/private keys pkB and skB used for signature verification and generation, respectively.

T :an off-line trusted third party (TTP). It has a pair of public/private keys PKT and SKT used for encryption and decryption, respectively

Remarks: the above keys of each parties are long term keys. There must be a secure binding between a party's identity and its public key. Such a binding may be in the form of a public key certificate issued by a certification authority. For references on public key encryption schemes, digital signature

schemes, encryption and decryption and one-way hash functions, public key certificates, see D. E. R. Denning, Cryptography and Data Security, Addition-Wesley, Reading, MA, 1983; W. Stallings, Network and Internetworks Security - Principles and Practice, Prentice Hall, Englewood Cliffs, NJ, 1995; and C. Kaufman, R. Perlman and M. Speciner, Network Security - Private Communication in a Public World, PTR Prentice Hall, Englewood Cliffs, NJ, 1995.

We will describe three protocols for fair exchange of digital data between distrustful parties A and B with an off-line trusted third party T. In all the protocols, we implement a new cryptographic mechanism called Certificate of Encrypted Message Being a Signature (CEMBS). A CEMBS is generated by the party who initiates a fair exchange to prove to others, in particular the other party, that an encrypted message is a certain party's signature on a known file while without revealing the signature. Let PKX/SKX be party X's public/private key pair in a public key encryption scheme and pkY/skY be party Y's public/private key pair in a digital signature scheme. Let sign_Y = Ssign(skY, M) be Y's signature on a file M under skY and C_X = Pencr(PKX, sign_Y) be the ciphertext of the encrypted signature sign_Y under X's public key PKX. Party Y can generate a CEMBS, denoted as Cert_Y_X, to prove that C_X is indeed the encryption (under PKX) of the signature sign_Y on M while without disclosing the signature. The Cert_Y_X can be verified by anyone using a public verification algorithm Veri, which on inputs Cert_Y_X, C_X, M, PKX, and pkY, output "yes" or "no".

That is, Veri(Cert_Y_X, C_X, M, PKX, pkY) = yes or no. If it is yes, then we must have C_X =Pencr(PKX, sign_Y) and Sveri(pkY, sign_Y, M) = yes for some sign_Y. In other words, if we decrypt C_X using SKX, the result is the signature on M under the key skY. It is impossible (computationally hard) to generate a Cert_Y_X such that Veri(Cert_Y_X, C_X, M, PKX, pkY) = yes without C_X = Pencr(PKX, sign_Y) and Sveri(pkY, sign_Y, M) = yes holding true for some sign_Y.

The CEMBS can be realized on cryptosystems with P = ElGamal public key encryption scheme and S = DSA-like digital signature scheme. It can also be realized on cryptosystems with P = ElGamal public key encryption scheme and S = Guillou-Quisquater digital signature scheme. Procedures on the realization and verification of CEMBA will be shown later.

In all the fair exchange protocols disclosed here we assume that 1) the parties A, B, and T have agreed on the public key encryption scheme P and the digital signature scheme S; 2) all parties know each others public keys via authenticated manners; 3) the communication links between all the parties are reliable and are confidentiality and integrity protected where necessary; and 4) party A is the one who initiates a fair exchange session.

1. Protocol 1 - Fair Exchange of Digital Signatures on A Common File

It is assumed that A and B have agreed on a common file (such as a digital contract document) M. Referring to Figure 1, the steps for A and B to exchange their digital signatures sign_A and sign_B on M are:

a. Party A, in step 100 using a Signature-Ciphertext-CEMBS-Generation Program (SCCGP), computes its signature sign_A = Ssign(skA, M) on the file M, the ciphertext C_T = Pencr(PKT, sign_A) on sign_A under T's public key PKT, and the CEMBS Cert_A_T which is used to prove that C_T is a ciphertext of sign_A without disclosing the signature. A sends MSG1 = (C_T, Cert_A_T) to B.

b. Party B, upon receiving MSG1 in step 120, checks whether Veri(Cert_A_T, C_T, M, PKT, pkA) = yes in step 140. If the answer is "no", B does nothing or sends an alert signal to A in step 160; if it is "yes", B computes and sends his signature sign_B = S_sign(skB, M) as MSG2 to A in step 180.

c. In step 200, A checks to see if it receives MSG2 and if so, checks whether Sveri(pkB, sign_B, M) = yes. If A does not receive MSG2 or the received sign_B is not valid, A does nothing or sets up an alert signal to itself and B in step 220. If sign_B is valid, A accepts it and sends sign_A as MSG3 to B in step 240. At this point, A considers the fair exchange completed.

d. In step 260, B checks to see if it receives MSG3 and if

so, checks whether Sveri(pkA, sign_A, M) = yes. If B receives MSG3 and sign_A is valid, it accepts sign_A in step 280. At this point, B considers the fair exchange completed. If B does not receive MSG3 or the received sign_A is not valid, B sends M, C_T and sign_B as MSG4 to T in step 300.

e. Upon receiving MSG4 in step 320, T in step 340 first checks sign_B using B's public key pkB to make sure that it is B's signature on M. If sign_B is correct, T decrypts C_T using its private key SKT to get sign_A and then checks whether it is A's signature on M using A's public key pkA. If both sign_A and sign_B are valid, T sends sign_A in MSG5 to B and sign_B in MSG6 to A in step 360. On the other hand, if either sign_B or sign_A is incorrect, T does nothing or send an alert signal to B in step 380.

f. Upon receiving MSG5 in step 400, B accepts sign_A and terminates the session.

g. Upon receiving MSG6 in step 420, A accepts sign_B if it has not been accepted in step 240; otherwise, A discards MSG6.

It is apparent that if A and B both behave properly, they will obtain each other's signatures without any involvement of T. Now consider what happens if B performs improperly. B has two chances to perform improperly. The first one is in step 180 where B may send A an incorrect sign_B, but A can detect this in step 200 and refuse to give sign_A to B. The second chance

is right after step 120, B stops the protocol, goes to T, and asks it to decrypt C_T in order to get sign_A while without giving sign_B to A; however, according to step 340, T will send sign_A to B only if B gives correct sign_B to T. In that case, T will forward sign_B to A in step 360. Finally, let us consider what happens if A performs improperly. A may perform improperly in step 100 by giving B incorrect (C_T, Cert_A_T). However, B will detect this and stops the session. If A sends "C_T, Cert_A_T" to B such that Veri(Cert_A_T, C_T, M, PKT, pkA) = yes, then, C_T must be the ciphertext (under PKT) of A's signature on M according to the definition of CEMBS. In this case, if A performs improperly later in step 240, such as sending B an incorrect sign_A or not sending anything, B can ask T to open C_T and get A's signature on M.

2. Protocol 2 - Fair Exchange of Digital Signatures on Different Files

Here we assume that A and B have agreed on two files M_A and M_B. The process for A and B to exchange their digital signatures on M_A and M_B, respectively, are identical to those in Protocol 1 except that 1) A's signature is on "M_A||h(M_B)" and B's signature is on "M_B||h(M_A)", i. e., sign_A = Ssign(skA, M_A||h(M_B)) and sign_B = Ssign(skB, M_B||h(M_A)), where h() is a one-way hash function; 2) when B asks T's help in step 300, B sends M_A, M_B, C_T, and sign_B as MSG4 to T; and 3) upon receiving MSG4 in step 320, T in step 340 decrypts C_T to get sign_A and checks to see if sign_A and sign_B are

and A and B's signatures on "M_A||h(M_B)" and "M_B||h(M_A)", respectively.

3. Protocol 3 - Fair Exchange of Confidential Data and Signature

Figure 2 shows the process of exchanging a confidential message and a signature on the message between A and B. More specifically, this protocol lets A send a digital signature on a one-way hash h(M) of a file M to B in exchange for M from B. Note that A's signature is on h(M) instead of M. It is impossible for A to sign directly on M before A sees it. On the other hand, after A sees M, it may refuse to send B the signature. No protocol can solve this dilemma. To avoid A signing on h(M) but receives a message M' different from the desired M, we assume that A has means of obtaining a one-way hash of the desired message M in authenticated manners. As pointed out in M. K. Franklin and M. K. Reiter, "Fair exchange with a semi-trusted third party", Proceedings of the 4th ACM Conferences on Computer and Communications Security, pp. 1-5, April 1-4, 1997, Zurich, Switzerland, this assumption is justified in protocols and applications in which one-party is responsible for revealing the input that produces a known output, already validated as part of the protocol or application, from a one-way hash function. Examples include the S/KEY user authentication system, see N. M. Haller, "The S/KEY one-time password system", Proceedings of the Internet Society Symposium on Network and Distributed Systems, 1994, the PayWord

electronic payment scheme, see R. Rivest and A. Shamir, "PayWord and MicroMint - two simple micropayment schemes", RSA CryptoBytes, 1996, and applications of digital timestamping S. Haber and W. S. Stornetta, "How to time-stamp a digital document", Journal of Cryptology, 3(2), pp. 99-111, 1991.

The steps of the exchanges are:

a. Party A, in step 500 using a Signature-Ciphertext-CEMBS-Generation Program (SCCGP), computes its signature sign_A = Ssign(skA, h(M)) on the one-way hash of the desired message, the ciphertext C_T = Pencr(PKT, sign_A) on sign_A under T's public key PKT, and the CEMBS Cert_A_T which is used to prove that C_T is a ciphertext of sign_A without releasing the signature. A sends C_T and Cert_A_T as MSG1 to B.

b. B, upon receiving MSG1 in step 520, checks whether Veri(Cert_A_T, C_T, h(M), PKT, pkA) = yes in step 540. If the answer is "no", B does nothing or sends an alert signal to A step 560; if it is "yes", B sends M in MSG2 to A in step 580.

c. In step 600, A checks to see if it receives MSG2 = M and if so, checks whether the one-way hash of the received message matches the known h(M). If A does not receive MSG2 or M is not valid (i. e., the one-way hash of the received message does not match h(M)), A does nothing or sets up an alert signal to itself and B in step 620. If the received M is valid, A accepts it and sends sign_A in MSG3 to B in step 640. At this point, A

considers the fair exchange process completed.

d. In step 660, B checks to see if it receives MSG3 and if so, checks whether Sveri(pkA, sign_A, h(M)) = yes. If B receives MSG3 and sign_A is valid, it accepts sign_A in step 680. At this point, B considers the fair exchange process completed. If B does not receive MSG3 or the received sign_A is not valid, B sends M and C_T to T in MSG4 in step 700.

e. Upon receiving MSG4 in step 720, T in step 740 first computes h(M) of the received M, decrypts C_T using its private key SKT to get sign_A and then checks whether it is A's correct signature on h(M) using A's public key pkA. If it is, T sends sign_A in MSG5 to B and sends M in MSG6 to A in step 760. On the other hand, if sign_A is not a signature on the newly computed h(M), T does nothing or send an alert signal to B in step 780.

f. Upon receiving MSG5 in step 800, B accepts sign_A and terminates the session.

g. Upon receiving MSG6 in step 820, A accepts M if it has not been accepted in step 640; otherwise, A discards MSG6.

4. The First Embodiment of the SCCGP

Figure 3 shows the flow chart of the first embodiment of the Signature-Ciphertext-CEMBS-Generation Program (SCCGP). It is

described for a cryptosystem where P = ElGamal public key encryption scheme and S = DSA-like digital signature scheme. For references on ElGamal scheme and DSA, see T. ElGamal, "A public key cryptosystem and a signature scheme based on discrete logarithms", IEEE Transactions on Information Theory, IT-31(4):469-472, 1985 and NIST FIPS PUB 181, Digital Signature Standard, U.S. Department of Commerce/National Institute of Standards and Technology, respectively.

Let p and q be prime integers such that p = 2q +1. For security reason, we require that q - 1 have no small prime factors except 2. Let G, an element in Zp*, have order q and g be a generator of Zq*. We have

P: ElGamal public key encryption scheme on (Zq*, g)
SKT: a random element in {1, 2, ..., q-2}
PKT: g^SKT mod q
The ciphertext of m, where m is an element in Zq*, under PKT is C_T = Pencr(PKT, m) = (W, V) where W= g^w mod q for a random number w in {1, 2, ...,q-2} and V = m(PKT)^w mod q. The decryption is m = V/(W^SKT) in Zq*. Further, we have

S: a DSA-like signature scheme on (Zp*, G)
skA: an element in Zq*
pkA: G^skA mod p

Party A's signature on M under skA is Ssign(skA, M)= (r, s) where r = G^k mod p for an random element k in Zq* and s =

(h(M)+r(skA))/k mod q. Here h() is a one-way hash function. The verification Sveri(pkA, (r, s), M) is to check whether r^s = (G^h(M))(pkA^r) mod p.

CEMBS in the cryptosystem described above can be realized through Stadler's PEDLDLL (Proof of Equivalence of Discrete Logarithm to Discrete LogLogarithm), see M. Stadler, "Publicly verifiable secret sharing", Proceedings of Eurocrypto'96, LNCS 1070, Springer-Verlag, pp.190-199, 1996. The PEDLDLL problem is stated as following:

Let p and q be as defined above. Let x, y and z be elements in Zq* and X and Y be elements in Zp* where the order of X is q. There exists a a in {1, 2, ..., q-2} such that y = x^a mod q and Y=X^((z^a)) mod p. A prover, who knows a, can produce a PEDLDLL certificate to prove to a verifier that indeed y = x^a mod q and Y = X^((z^a)) mod p for some a while not revealing a and z^a. Here x, y, z, X, and Y can be regarded as public values to the verifier.

The CEMBS Cert_A_T can be induced from a PEDLDLL certificate as follows. When party A encrypts the signature sign_A = (r, s) under PKT, it only encrypts s while leaves r in plain. That is, the encrypted signature is C_T = (r, Pencr(PKT, s)) where Pencr(PKT, s) = (W, VT), with W = g^w and VT = s((PKT)^w). Hence, the encrypted message is A's signature on M implies that

r^s = (G^h(M))(pkA^r) mod p,

W = g^w mod q,

VT = s(PKT^w) mod q

It is straightforward to see that the above are equivalent to

1/W = g^(-w) mod q,

(G^h(M))(pkA^r) = (r^VT)^(PKT^(-w)) mod p,

Note that here W, g, G, h(M), pkA, r, VT, and PKT are all public values. Hence, proof of the last two equations is equivalent to the PEDLDLL if we let a = -w, x = g, y = 1/W, z = PKT, X = r^VT, and Y = (G^h(M))(pkA^r). Therefore, generation of CEMBS is equivalent to generation of a PEDLDLL certificate.

Referring to Figure 3, the steps of the first embodiment of the SCCGP invention are:

a. After reading the message M from step 1000, compute party A's signature sign_A = Ssign(skA, M) = (r, s) on M under private key skA based on the DSA-like signature scheme in step 1020, where r = G^k mod p for a value k selected randomly from Zq* and s = (h(M) + r(skA))/k mod q.

b. Encrypt s under T's public key PKT to get Pencr(PKT, s) = (W, VT) using the ElGamal public key encryption scheme in step 1040, where W = g^w mod q, VT = s(PKT^w) mod q, and w being a number randomly selected from {1, 2, ..., q-2}.

c. Generate CEMBS Cert_A_T in step 1060. The Cert_A_T is the PEDLDLL certificate with a = -w, x = g, y = 1/W, z = PKT, X = r^VT, and Y = (G^h(M))(pkA^r). The PEDLDLL is generated as follows. For i = 1, 2, ..., L, randomly select wi from {1, 2, ..., q-2}, compute txi = x^wi mod q, tXi = X^(z^wi) mod p, and c = H(x||y||z||X||Y||tx1||tX1||tx2||tX2||...||txL||tXL), where H() is a one-way hash function with L output bits c = c1c2...cL, ci = 0 or 1. Finally, compute R = (r1, r2, ..., rL) where ri = wi -a(ci) mod q-1, i = 1, 2, ..., L. The PEDLDLL (or equivalently Cert_A_T) is (R, c).

d. Output sign_A, C_T = (r, Pencr(PKT, s)), and Cert_A_T in step 1080.

The verification of the PEDLDLL/Cert_A_T is to check whether c = H(x||y||z||X||Y||u1||U1||u2||U2||...||uL||UL) holds true, where ui = (x^ri)(y^ci) mod q, Ui = X^(z^ri) mod p if ci = 0 or Y^(z^ri) mod p if ci = 1, for i = 1, 2, ..., L, and where x = g, y = 1/W, z = PKT, X = r^VT, and Y = (G^h(M))(pkA^r).

5. The Second Embodiment of the SCCGP

Figure 4 shows the flow chart of the second embodiment of the Signature-Ciphertext-CEMBS-Generation Program (SCCGP) of the present invention. It is described for a cryptosystem with P = ElGamal public key encryption schene and S = Guillou-Quisquater digital signature scheme. For reference on the Guillou-Quisquater digital signature scheme, see L. C.

Guillou, M. Ugon, and J.-J. Quisquater, "The Smart Card: A Standardized Security Device Dedicated to Public Cryptology", in Contemporary Cryptology - The Science of Information Integrity, edited by G. J. Simmons, IEEE Press, New York, pp.561-614, 1992.

The cryptosystem requires a trusted authorized center AC to create system parameters. AC chooses two primes R and Q where R = 2p'q+1, Q = 2pq+1 for primes p', p and q, sets n = RQ and chooses an element g in Zn* such that it has order q. Next, AC randomly chooses a large number v co-prime to (R-1)(Q-1) and publishes system parameters n, g, q, v. R and Q can be destroyed and AC may cease to exist after this system initialization.

The cryptosystem uses the ElGamal PKC on (Zn*, g) and the Guillou-Quisquater digital signature scheme on (Zn*,v). Specifically, we have

P: ElGamal system on (Zn*, g)
SKT: randomly selected from {1, 2, ..., q-2}
PKT: g^SKT mod n

The ciphertext of m, an element in Zn*, under PKT is Pencr(PKT, m) = (W, V), where W= g^w mod n for a random w in {1, 2, ..., q-1} and V = m(PKT)^w mod n. The decryption is m = V/W^SKT mod n. Further, we have

S: Guillou-Quisquater signature scheme on (Zn*, v)
skA: randomly selected from Zn*
pkA: J such that J(skA)^v = 1 mod n

To sign a message M, party A randomly chooses r, sets T = r^v mod n, computes d = h(M||T) and D = r(skA^d) mod n. The signature is sign_A = (d, D). The verification of the signature is to check whether d = h(M||(D^v)(pkA^d) mod n) holds.

Referring the Figure 4, the steps of the SCCGP program are:

a. Upon imputing the message M to be signed in step 1200, compute party A's signature sign_A = (d, D) on M under private key skA in step 1220, where T = r^v mod n with r being a random number, d = h(M||T) and D = r(skA^d) mod n.

b. Encrypt D under T's public key PKT to get C_T = Pencr(PKT, D) = (W, VT) in step 1240, where W = g^w mod n, VT = D(PKT^w) mod n, and w being a number randomly selected from Zn*.

c. Generate Cert_A_T = (r, c, V, d) in step 1260, where d is from step 1200, V = D^v mod n, and (r, c) are calculated as follows:
randomly choose u from {1, 2, ..., q-1}, compute a = g^u mod n and A = (PKT^v)^u mod n. Then compute c = H(g||W||PKT^v||(VT^v)/V||a||A) and r = u-cw mod q and where H() is a one-way hash function.

d. Output sign_A, C_T, and Cert_A_T in step 1280.

Note that verification of Cert_A_T is to check whether c= H(g||W||PKT^v||(VT^v)/V||(g^r)(W^c)||((PKT^v)^r)((VT^v/V)^c) holds true.

Claims

1. A method of exchanging digital data between a first party having a unique first digital data and a second party having a unique second digital data over a communication link, the method comprising the steps of:

(a) the first party encrypting the first digital data and generating an authentication certificate, the authentication certificate authenticating that the encrypted first digital data is an encryption of the first digital data, and sending the encrypted first digital data and the authentication certificate to the second party;

(b) the second party verifying that the encrypted first digital data is an encryption of the first digital data using the authentication certificate, and the second party sending the second digital data to the first party if the verification is positive;

(c) the first party verifying that the second digital data is valid, and if the verification is positive the first party accepts the second digital data and sends the unencrypted first digital data to the second party;

(d) the second party verifying that the first digital data is valid, and if the verification is positive, the second party accepts the first digital data; otherwise, the second party

sends the encrypted first digital data and the second digital data to a third party, third party having a decryption key to decrypt the encrypted first digital data; and

(e) the third party decrypting the encrypted first digital data to obtain the first digital data, verifying that the first and the second digital data are valid and, if both the first and the second digital data are verified as valid, sending the first digital data to the second party and the second digital data to the first party.

2. A method according to claim 1, in which the first and second digital data are on files M_A and M_B respectively, the first party in step (a) encrypting the first digital data on a concatenation of file M_A and a one-way hash of file M_B; and the second party in step(b), if the verification is positive, encrypting the second digital data on a concatenation of file M_B and a one-way hash of file M_A.

3. A method according to claim 1 or claim 2, wherein the first and second digital data are digital signatures belonging to the first and second party, respectively.

4. A method according to claim 1, wherein the second digital data is a secret file M which the first party wishes to receive from the second party in exchange for the first digital data.

5. A method according to any of the preceding claims, wherein

the first party has a pair of public/private keys in a first digital signature scheme; the second party has a pair of public/private keys in a second digital signature scheme; and the third party has a pair of public/private keys in a public key encryption scheme.

6. A method according to claim 5, wherein the digital signature schemes are discrete logarithm based schemes; and the public key encryption scheme is a discrete logarithm based scheme.

7. A method according to claim 5, wherein the digital signature schemes are Guillou-Quisquater type digital signature schemes; and the public key encryption scheme is a discrete logarithm based scheme.

ABSTRACT

"A Method of Exchanging Digital Data"

A method of exchanging digital signatures (sign_A, sign_B) between a first and a second party (A,B) includes the first party (A) encrypting their signature (sign_A) and generating an authentication certificate (Cert_A), the authentication certificate (Cert_A) authenticating that the encrypted signature (C_T) is an encryption of the signature (sign_A). The first party (A) sends the encrypted signature (C_T) and the authentication certificate (Cert_A) to the second party (B). The second party (B) verifies that the encrypted signature (C_T) is an encryption of the digital signature (sign_A) of the first party (A), and if the verification is positive, the second party (B) sends its digital signature (sign_B) to the first party (A). The first party (A) verifies that the digital signature (sign_B) is the digital signature of the second party (B), and if the verification is positive the first party sends its unencrypted signature (sign_A) to the second party (B). The second party (B) verifies that the digital signature (sign_A) is the first party's digital signature, and accepts the digital signature (sign_A) if the verification is positive. If the verification is negative, the second party (B) sends the encryted digital signature (C_T) and its digital signature (sign_B) to a third party (T). The third party (T) is independent of the first and second parties (A,B) and has a decryption key to decrypt the encrypted digital signature (C_T) of the first party (A).

The third party (T) decrypts the encrypted digital signature (C_T) to obtain the first party's digital signature (sign_A), and verifies that the digital signatures (sign_A, sign_B) are the digital signatures of the first and second party (A,B) respectively. If both digital signatures (sign_A, sign_B) are verified as the digital signatures of the first and second parties (A,B), the third party (T) sends the first party's digital signature (sign_A) to the second party (B) and sends the second party's digital signature (sign_B) to the first party (A).

Figure 1

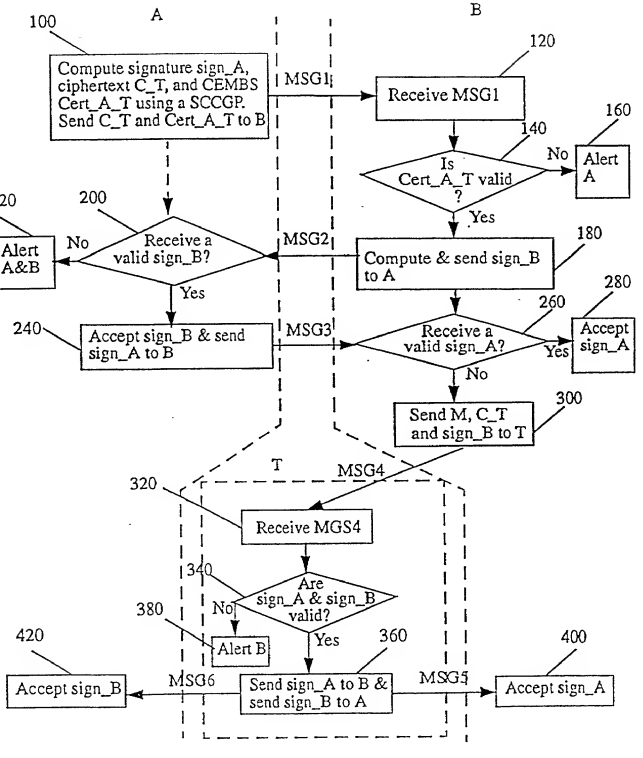
A
B
100
Compute signature sign_A, ciphertext C_T, and CEMBS Cert_A_T using a SCCGP. Send C_T and Cert_A_T to B
MSG1
120
Receive MSG1
140
Is Cert_A_T valid ?
No
160
Alert A
Yes
220
Alert A&B
200
No
Receive a valid sign_B?
MSG2
Compute & send sign_B to A
180
Yes
280
260
Accept sign_A
240
Accept sign_B & send sign_A to B
MSG3
Receive a valid sign_A?
Yes
No
300
Send M, C_T and sign_B to T
T
MSG4
320
Receive MGS4
340
Are sign_A & sign_B valid?
No
380
Alert B
Yes
360
420
Accept sign_B
MSG6
Send sign_A to B & send sign_B to A
MSG5
400
Accept sign_A

Figure 1

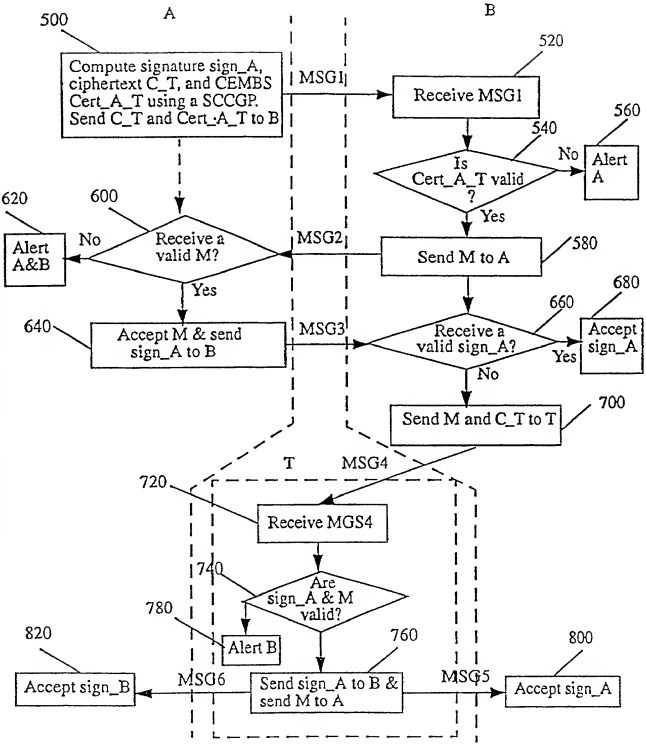
A
B
500
Compute signature sign_A, ciphertext C_T, and CEMBS Cert_A_T using a SCCGP. Send C_T and Cert_A_T to B
MSG1
520
Receive MSG1
560
540
Is Cert_A_T valid ?
No
Alert A
Yes
620
600
Alert A&B
No
Receive a valid M?
MSG2
Send M to A
580
Yes
680
660
640
Accept M & send sign_A to B
MSG3
Receive a valid sign_A?
Accept sign_A
Yes
No
Send M and C_T to T
700
T
MSG4
720
Receive MGS4
740
Are sign_A & M valid?
780
Alert B
820
760
800
Accept sign_B
MSG6
Send sign_A to B & send M to A
MSG5
Accept sign_A

Figure 2

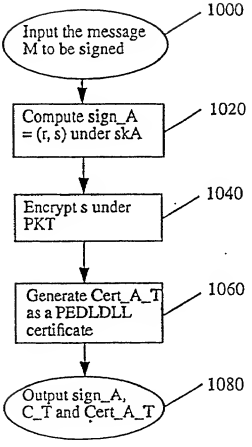

Figure 3

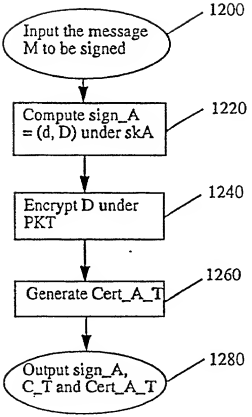
Input the message M to be signed
1200
Compute sign_A = (d, D) under skA
1220
Encrypt D under PKT
1240
Generate Cert_A_T
1260
Output sign_A, C_T and Cert_A_T
1280

Figure 4

Declaration and Power of Attorney For Utility or Design Patent Application
English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

A METHOD OF EXCHANGING DIGITAL DATA

the specification of which is attached hereto unless the following box is checked:

☑ was filed on **18 MARCH 1998** as

United States Application Number _____
and was amended on _____ (if applicable) or,

☐ PCT International Application Number **PCT/SG98/00020**
and was amended on _____ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code §119 (a-d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States of America, listed below. I have also identified below, by checking the "No" box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

			Priority Claimed	
(Number)	(Country)	(Day/Month/Year Filed)	☐ Yes	☐ No
(Number)	(Country)	(Day/Month/Year Filed)	☐ Yes	☐ No
(Number)	(Country)	(Day/Month/Year Filed)	☐ Yes	☐ No

☐ Additional foreign application numbers are listed on a supplemental priority sheet attached hereto.

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

(Number)	(Day/Month/Year Filed)
(Number)	(Day/Month/Year Filed)
(Number)	(Day/Month/Year Filed)

☐ Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s), or §365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

(Application No.)	(Filing Date)	(Status) (patented, pending, abandoned)
(Application No.)	(Filing Date)	(Status) (patented, pending, abandoned)

☐ Additional U.S. or international application numbers are listed on a supplemental priority sheet attached hereto.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from either his foreign patent agent or corporate representative, if any, as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the attorney(s) and/or agent(s) associated with the Customer Number provided below to prosecute this application and transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to that Customer Number:

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